

23 OCT 1978

MEMORANDUM FOR: Director of Personnel

FROM : John F. Blake
Deputy Director for Administration

SUBJECT : Follow-up to ☐ Retreat

25X1A

1. DDA management has thoroughly reviewed the currently proposed Performance Appraisal Report (PAR). Our effort focused on both the format and content of the report with specific emphasis on items suggested for mandatory comment.

2. We definitely support the continuing objective of improving employee performance appraisals. However, we do suggest that introduction of any new format concerning performance appraisal be withheld pending completion of the consultant review of the entire Agency personnel system. It may be appropriate to offer the currently developing appraisal system to the outside experts as an alternative to the present system.

3. In that context we address the continuing development of the performance evaluation system.

A. Annual Work Plan (AWP) - The Directorate of Administration views the Annual Work Plan as a replacement for the Letter of Instruction (LOI) and as such it is entirely satisfactory. We are of the opinion that it can be a very useful document in aiding the performance evaluation of many personnel. But, we support its use, as with the LOI, on an optional basis, by Directorate, and suggest instructions to that effect in the final Performance Appraisal Report.

In considering the form itself we recommend that Section A, Employee's Job, be deleted. Where the position fits in the staffing pattern adds little to the

substance of the PAR and supervisory responsibilities including number of employees supervised is addressed elsewhere in the report. With respect to Section B, Work Objectives, Goals, and Priorities - we suggest deletion of the word "Objectives" in the title and the instruction.

B. Performance Appraisal Report - Generally speaking, we have little difficulty with the PAR format. Minor exceptions include a suggestion that the social security number be added to the General Information Section and that the employee Comments Section, which we fully support, be relocated to follow the reviewing officer comments. As concerns content, we agree that the 1-7 scale should be more precisely defined. It seems that the current descriptors are quantitative rather than qualitative. They apply to a production type environment with objective standards of performance. The evaluation is comparing performance against "formulated expectations" as opposed to a comparison of the performance of "others doing similar work." Additionally, we believe the lines of demarcation between each number rating are not clear. The difference between "constant" and "continual" or "usually" and "consistently" is not clear. It may be appropriate to establish a small working group with representation from each Directorate to develop an acceptable set of definitions for the seven point scale.


The last item concerning the PAR involves the feasibility of requiring narrative comment on EEO, safety, security, cost consciousness, ability to write Fitness Reports and management ability. While these items are very important, mandatory reporting tends to overload the PAR and will inevitably result in perfunctory comments with little real meaning. As an alternative, there could be instruction to comment on those items only when there is actually something worthwhile, either positive or negative to say. As regards EEO, safety, and security, it seems appropriate to suggest comment only for supervisory and managerial personnel.

C. Evaluation of Potential - As an alternative to the "Evaluation of Potential" section, we suggest instructions for the PAR narrative be written so as to encourage rating officials to discuss their view of the rated employee's potential. This would assist panel members in deliberations concerning potential and would at the same time allow the employee opportunity to comment without requiring a specific section for "Evaluation of Potential."

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4. Whatever format is eventually agreed upon, one point should be paramount. That is that continuing effort should be applied to avoid an overly complicated or lengthy employee appraisal system.

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for John F. Blake

Distribution:

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DDA/CMO/  :pao (23 Oct 78)

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SEVEN POINT SCALE PERFORMANCE DEFINITIONS

1. Constant supervision and direction are required to keep efforts focused on assigned tasks; efforts are not sufficient to complete work on time; performance quality consistently falls short of formulated expectations.
2. Continual supervision and direction are required to keep efforts focused on assigned tasks; work is frequently late and frequently falls short of formulated expectations.
3. This employee meets the norms described in number 4 in all but one area which is below expectations.
4. Applies required efforts to assigned tasks under routine supervision and direction; uses standard approaches to tasks so that tasks are completed on time; work produced meets formulated expectations.
5. This employee meets the norms described in number 4 and exceeds expectations in one area.
6. Usually applies efforts to priority elements of assigned tasks and requires occasional supervision and direction; uses effective approaches to tasks so that tasks are frequently completed ahead of deadlines; work produced sometimes exceeds formulated expectations.
7. Consistently applies efforts to priority elements of assigned tasks while requiring little if any supervision and direction; uses most effective, often new, approaches to tasks so that tasks are completed well ahead of deadlines; work produced consistently exceeds formulated expectations.

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ANNUAL WORK PLAN

GENERAL INFORMATION

EMPLOYEE NUMBER	NAME (Last, first, middle)	GRADE	SD
OFFICIAL POSITION TITLE	OFF/DIV/BR OF ASSIGNMENT	CURRENT STATION	

EMPLOYEE'S JOB - State briefly where the position fits in the staffing pattern and if appropriate the number and type of employees supervised by this employee.

White

WORK OBJECTIVES, GOALS AND PRIORITIES - List the specific objectives and goals, in priority order, formulated by the supervisor and the employee.

extension of LOI
definitely potential
with LOI -

PERIOD COVERED

SIGNATURE OF EMPLOYEE (Name typed)

SIGNATURE OF SUPERVISOR (Name typed)

TITLE

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TITLE

GRADE

DATE

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PERFORMANCE APPRAISAL REPORT

SECTION A GENERAL INFORMATION												
1. EMPLOYEE NUMBER		2. NAME (Last, First, middle)					3. GRADE		4. SD			
5. POSITION TITLE				6. OFF/DIV/BR OF ASSIGNMENT			7. STATION		8. CODE (Ch. I)			
									HQS.		DF	
9. TYPE OF APPOINTMENT				10. TYPE OF REPORT								
CAREER		RESERVE		TEMPORARY		1. TRIAL (CIRCLE NO.)		ANNUAL		REASSIGNMENT		
3										OTHER		
CONTRACT		SPECIAL		OTHER		11. REPORTING PERIOD (FROM-TO)			12. DATE REPORT DUE IN O.P.			
SECTION B QUALIFICATIONS UPDATE										YES		NO
Is Qualifications Update Form being submitted with changes, and is it attached to this report?												
SECTION C PERFORMANCE APPRAISAL RATING DEFINITIONS												
1												
2												
3												
4												
5												
6												
7												
SECTION D SPECIFIC DUTIES												
List up to six of the most important specific duties performed during the rating period. Insert rating which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised)												
SPECIFIC DUTY NO. 1										RATING NUMBER		
SPECIFIC DUTY NO. 2										RATING NUMBER		
SPECIFIC DUTY NO. 3										RATING NUMBER		
SPECIFIC DUTY NO. 4										RATING NUMBER		
SPECIFIC DUTY NO. 5										RATING NUMBER		
SPECIFIC DUTY NO. 6										RATING NUMBER		

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SECTION E

SUPERVISOR'S COMMENTS

Amplify or explain the individual ratings given for specific duties. Section D. Indicate significant strengths, weaknesses, and suggestions for improvement of work performance. Give recommendations for training. See attached instructions for required comments on: cost consciousness, EEO, safety, security, and evaluation of supervisors. If extra space is needed, use Section H.

*goals from work plan should be discussed
could attain most objectives if selected by others*

SECTION F

OVERALL PERFORMANCE RATING

The overall performance rating should take into account everything about the employee which influences effectiveness. See attached instructions for details.

RATING
NUMBER

SECTION G

CERTIFICATION AND COMMENTS

1. BY SUPERVISOR

THIS EMPLOYEE HAS BEEN IN
THIS POSITION

THIS UNDER MY SUPERVISION

DATE

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION

TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

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EMPLOYEE'S SELF APPRAISAL OF PERFORMANCE, COMMENTS REGARDING SUPERVISOR'S EVALUATION,
REVIEWER'S COMMENTS OR BOTH. IF EXTRA SPACE IS NEEDED, USE SECTION H.

agree with OK

CERTIFY THAT I HAVE HAD A DISCUSSION OF THIS REPORT WITH MY SUPERVISOR,	DATE	SIGNATURE OF EMPLOYEE
--	------	-----------------------

3. BY REVIEWING OFFICIAL

COMMENTS OF REVIEWING OFFICIAL. IF EXTRA SPACE IS NEEDED, USE SECTION H.

DATE	TITLE OF REVIEWING OFFICIAL	TYPED OR PRINTED NAME AND SIGNATURE
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4 BY EMPLOYEE

CERTIFY THAT I HAVE READ THE REVIEWER'S COMMENTS.	DATE	SIGNATURE OF EMPLOYEE
--	------	-----------------------

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IF ADDITIONAL SPACE IS NEEDED, ATTACH A SEPARATE SHEET.

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EVALUATION OF POTENTIAL

A. CHECK ONE

☐ Employee lacks the potential to assume greater responsibility.

☐ It is too soon to judge when the employee may be ready to assume a higher level of responsibility.

☐ Employee has the potential to assume greater responsibility with additional training or experience.

☐ Employee is entirely capable of assuming greater responsibility as soon as the opportunity occurs.

☐ Employee should be considered for rapid advancement to positions of much greater responsibility, with the expectation that the employee will rise to the highest levels of the organization.

B. DISCUSSION OF POTENTIAL (Justify your choice above. State the qualities of the work performance that best demonstrate a capacity for growth and advancement, or the lack thereof, support with examples.)

SIGNATURE OF SUPERVISOR (Name typed)

DATE

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